

# EXHIBIT A

GUO Li, Professor & Vice Dean, Peking University Law School, China

GUO Li is a Professor of Law and Vice Dean at Peking University Law School, and the chief editor of *PKU Journal of Legal Studies*. He has also taught at Cornell, Duke, Hong Kong, Sydney, Vanderbilt, and is the recipient of the Humboldt Foundation Fellowship. His scholarly interests cover financial laws, social development and comparative studies. He is the Vice Chairman of China Banking Law Society, and also the standing committee members of China Economic Law Society and China Securities Law Society, and awarded as one of the Outstanding Teachers by the Beijing Municipal Government, among the others.

Prof. Guo has published over 50 articles in different SSCI or CSSCI journals. He is currently serving as a member of the Public Offering Review Committee for China Securities Regulatory Commission, as well as the expert members of specialized committees for Asset Management Association of China and National Internet Finance Association of China. He is named as an arbitrator at Beijing Arbitration Commission and Shenzhen Court of International Arbitration, and admitted into the Bar of China and New York State. He is a graduate of PKU, Southern Methodist, and Harvard Law School.

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Areas: Financial Laws/Banking & Securities/Corporate/Comparative Study

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## **1. Education**

2003——2004 Harvard University Law School, LL.M. (Int'l Finance Concentration)  
1997——2003 Peking University Law School, LL.D. (Int'l Economic Law)  
1999——2000 Southern Methodist Univ. Law School, LL.M. (Int'l & Comparative Law)  
1992——1997 Peking University Law School, LL.B. (Economic & Int'l Economic Law)

## **2. Work Experience**

2005/08—— Peking University Law School, Lecturer; Associate Professor; Professor  
2010、2011 Humboldt Foundation Fellow (Freiburg University, Germany)  
2008/08——2009/05 Cornell University Law School, Wang Visiting Assi. Prof.  
2003/07——2005/06 Peking Univ. Guanghua School of Management, Postdoctoral Researcher

## **3. Membership and Fellowship**

- Vice Chairman, China Banking Law Society; standing committee members, China Economic Law Society & China Securities Law Society
- Member of the Public Offering Review Committee for China Securities Regulatory Commission
- Expert members of the specialized committees for Asset Management Association of China & National Internet Finance Association of China.
- Members of the P. R. China Bar & the New York State Bar
- Arbitrators, Beijing Arbitration Commission & Southern China International Economic and Trade Arbitration Commission/ ShenZhen Court of International Arbitration
- Fellows, Asian Institute of International Financial Law (Hong Kong University)

## **4. Representative Publications in Chinese**

### **Books**

May 2013 *The Securities Bar: Strategic Development and Regulatory Framework in Comparative Perspective*, Law Press China  
Oct.2012 *The Reform of Financial Regulation System of China During Financial Market Globalization*, Economic Science Press (with CAO Fengqi, etc., Beijing Book Awards)  
Jun.2008 *A Study of the Legal Frameworks for Credit Reporting*, Economic Daily Press (with LI Qingchi)  
Jul. 2006 *A Legal Reflection on the Innovation and Development of Chinese Banking Industry*, Peking University Press (National and Beijing Book Awards)

- Feb.2004 *Private Placement in the U.S. Securities Law*, Peking University Press (National Book Award)
- Nov. 2001 *Cogito Ergo Sum: Selected Essays on Financial Law*, Economic Science Press (PKU Research Award)

**Journal articles**

- Dec. 2017 *The Practice of Sovereign Wealth Funds under the Background of “International Rule of Law” Reconstructing*, Jiangnan Tribute, Vol. 12, 2017.
- May 2016 *The Legal Issues Concerning Denominated Sale Practices of Privately Placed Bond in Regional Stock Market Through Online Sales Platform*, Securities Market Herald, Vol. 5, 2016.
- Apr. 2016 *The Incentive and Protective Mechanism on Offence-Reporter Who Reported the Illegal Activities of Securities*, Jiangnan Tribute, Vol. 4, 2016.
- Mar. 2016 *Revisiting the Chinese Styled Board of Supervisors: How It Get Failed? – An International Comparative Perspective*, Journal of Comparative Law, Vol. 2, 2016.
- Jan. 2015 *The Going-Private Transaction: Standard Revisited and Interests Balanced – Overseas Experiences and Insights of the Voluntary Delisting*, Peking University Law Review, Vol. 15, No.2.
- Jun. 2014 *The Increasing Restraints on Extraterritorial Rights of Action: A Study on Recent Cases of the U.S. Supreme Court*, Peking University Law Journal, Vol. 3, 2014.
- May 2014 *The Logic, Path and Pilot Zone for Interest Rate liberalization*, Academic Monthly, Vol. 46, No. 5, 2014.
- Feb. 2014 *The Review and Reference of Hong Kong’s New Regulatory Reform of the Sponsor System*, Securities Market Herald, Vol. 2, 2014.
- Aug. 2013 *Cases, Development and Regulations in the Credit Guarantee Sector*, Financial Regulation Research, Vol. 8, 2013.
- Jul. 2012 *New Development of China’s Corporate Capital System*, Studies in Law and Business, Vol. 4, 2012.
- May 2012 *The Creation of “JOBS” Dividends System – The Discussion on the Rebalance of United States Securities Regulation*, Securities Market Herald, Vol. 5, 2012.
- Apr.2012 *The Impact Analysis of WTO Dispute Resolutions on the Chinese Agricultural Support Policies*, Journal of Nanjing Agricultural University (Social Sciences Edition), Vol. 2, 2012.
- Apr.2012 *The Development Path and Norms for Securities Lawyers in China: A Proposal*, Legal Science, Vol. 4, 2012.
- Nov.2011 *The Latest Developments of the U.S. Securities Extraterritorial Jurisdiction*, Securities Market Herald, Vol. 11, 2011.
- Mar.2011 *Reflections on the Changes of Rule for Securities Non-public Offer: China and the US*, Expanding Horizons, Vol. 3, 2011.
- Mar.2011 *A Better Legal Duties Regime for Securities Market Intermediaries*, Journal of Nanjing Agricultural University (Social Sciences Edition), Vol. 1, 2011.

Dec.2010	<i>Perfecting the Liability System for Fraudulent Cashing on Credit Cards</i> , Legal Science, Vol. 12, 2010.
Sept.2010	<i>Supervisory Environment and Model Selection of Overseas M&amp;A Investment by China Investment Corporation</i> , Tsinghua Law Journal, Vol. 5, 2010.
Aug.2010	<i>Exploring the Boundaries of Securities Fraud Liabilities: A Reflection of the US Supreme Court Latest Cases on Misstatement</i> , Peking University Law Journal, Vol. 4, 2010.
Aug.2009	<i>The US Regulations on Private Equity Fund: Development and Reflection</i> , Modern Law Review, Vol. 4, 2009.
Aug.2009	<i>China Investment Company: A sovereign Wealth Fund as the Bank Holding Company</i> , Peking University Law Journal, Vol. 4, 2009.
Jul. 2009	<i>Further Thoughts on the US Securities Class Action</i> , Peking University Law Review, Vol. 10, No.2, 2009.
Jul. 2009	<i>An Analytic and Regulatory Framework on Shares Cross-holding</i> , Journal of Philosophy & Social Science of Peking Univ., Vol. 4, 2009.
Nov.2008	<i>Administrative Law Judges in the US SEC Securities Enforcement</i> , Administrative Law Review, No. 4, 2008.
Aug.2007	<i>Safeguarding the Securities Investors' Assets: Law and Practice</i> , Productivity Research, No.15, 2007.
Feb. 2007	<i>Concerns on Evolution of Securities Clearing and Settlement Regulations in China</i> , Securities Market Herald, Vol. 2, 2007.
Jan. 2007	<i>The Legal and Policy Analysis the Guarantee Company's Involvement in Banks' Credit Card Business</i> , Legal Science, Vol. 1, 2007.
Oct. 2006	<i>Legitimacy Puzzle on Monetary Management with Guaranteed Minimum Return</i> , Journal of Philosophy & Social Science of Peking Univ., Vol. 5, 2006.
Jan. 2006	<i>Issuing Stock to Specific Individuals: Constructing System and Analyzing Problem</i> , East China Univ. of Politics and Law Journal, Vol. 1, 2006.

## 5. Representative Publications in English

### Books & Book chapters

Dec. 2017	<i>The Chinese Board of Supervisors System: An International Comparison</i> , Foreign investments on Chinese capital markets, Mohr Siebeck Publishing (Germany)
Nov. 2016	<i>Chinese Expansion in the European Union</i> (with Cristiano Rizzi, etc.), American Bar Association Publishing (US)
Sept. 2015	<i>The Hybridization of China's Financial System</i> , Regulating the Visible Hand? The Institutional Implications of Chinese State Capitalism, Oxford University Press (UK)
Aug. 2015	<i>Shareholder Rights in China: from Book to Action</i> , Research Handbook on Shareholder Power (Edited by Jennifer Hill & Randall Thomas), Edward Elgar Publishing (UK)
Jul. 2012	<i>Mergers and Acquisitions and Takeovers in China</i> (with Cristiano Rizzi & Joseph Christian) Wolters Kluwer (Netherlands & US)

Jan. 2010 *Chinese Business Law* (Ch. 4, Securities) (edited by BU Yuanshi) C. H. Beck & Hart Publishing (UK & Germany)

#### **Journal articles**

Dec. 2016 *Is Australia's "Twin Peaks" System of Financial Regulation a Model for China?* Hong Kong Law Journal, Vol.46, Part 2-3 (HK, SSCI)

Mar. 2015 *Chinese Style VIEs: Continue to Sneak under Smog?*, Cornell International Law Journal, Vol. 47, Issue 3 (US, SSCI)

Oct. 2014 *In Search of a Place in the Sun: The Shadow Banking System with Chinese Characteristics*, European Business Organization Law Review, Vol. 15, Issue 3 (UK, SSCI)

Dec. 2012 *The Legal Considerations of Doing M&A with Chinese Companies*, Seoul Law Journal, Vol. 53, No. 4 (Korea)

Sept.2011 *Entering the Chinese Market through Takeovers, Listed Company Acquisition and M&A: A New Form of Investment and A New Method to Expand a Presence in China*, Diritto Del Commercio Internazionale, Issue 2, Giuffrè Editore (Italy)

June 2010 *Demystifying the Chinese Sovereign Wealth Fund Amidst U.S. Financial Regulation*, Tsinghua China Law Review, Vol. 2, Issue 2 (US)

Nov.2009 *The Fledgling Securities Fraud Litigation in China*, Hong Kong Law Journal, Vol.39, Part 3 (HK, SSCI)

Oct. 2009 *The Cross Holding of Company Shares – A Preliminary Legal Study of Japan and China*, Frontiers of Law in China, Vol. 4, Issue 4 (China)

Dec.2007 *The Chinese Financial Conglomerates and Its Company Law Implication*, Journal of Korean Law, Vol. 7, No. 1 (Korea).

Dec.2006 *The Emerging Chinese Financial Conglomerates – Development and Doubt*, Journal of Chinese Law, Issue 4 (Germany).

Nov.2004 *Financial Holding Company or Universal Bank? - A Comparative Note on the Latest Amendment to China's Commercial Bank Law Art. 43*, Banking Law Journal, Vol. 121, No. 10 (US).

June 2003 *Bloom or Doom? — Legal Approach and Int'l Perspectives on Contracting over Internet in China*, International Business Lawyer, Vol. 31, No.3 (UK).

Apr. 2003 *The Collapse of the Glass-Steagall Wall and Its Impacts on China's Banking Law*, Journal of International Banking Law and Regulation, Vol. 18, Issue 4 (UK).

Chief Editor *Peking University Journal of Legal Studies* (in English, Peking University Press)

Members of the editorial boards for *Asian Journal of Comparative Law* (National University of Singapore), *Securities Legal Forum* (Shanghai Stock Exchange), *Securities Market Herald* (Shenzhen Stock Exchange) and *The Investor* (China Securities Investor Services Center)

#### **6. Recent Research Projects**

- *Research on the Financial Risks and Financial Safety -- A Legal and Institutional Perspective*, China Law Society
- *The Study on the Legal Risks and Regulatory Models of Sovereignty Wealth Fund Investments*, China National Social Science Fund
- *Research on the Role and Functions of Securities Lawyers in China's Capital Market*, China Law Society
- *China's Legal System of Non-listed Securities: Offer and Trade*, Ministry of Justice
- *China's Financial Regulation Structure under the Financial Market Globalization*, Ministry of Education
- *Convention Study: Substantive Rules Regarding Intermediated Securities*, China Securities Regulatory Commission
- *The Debt Work-out for SOEs in China – An Analysis of the Systematic Issues*, World Bank & China State Economy and Trade Commission

## 7. Awards

Dec. 2017	Beijing 2 <sup>nd</sup> Legal Study Publication Award
Sept. 2017	Beijing Outstanding Teachers Award
Dec. 2016	19 <sup>th</sup> An Zhijie International Trade Research Award, Best Essay
Nov. 2015	3 <sup>rd</sup> Dong Biwu Legal Research Publication Award
Nov. 2010	16 <sup>th</sup> An Zhijie International Trade Research Award, Best Essay
Apr. 2010	China Law Society Top Youth Legal Scholars
Sept. 2009	Beijing Education Award for Teaching Innovation
Aug. 2009	China 3 <sup>rd</sup> National Legal Study Publication Award
Aug. 2008	Beijing Municipal Gov. Award for Excellent Social Science Publication, Second Prize
Oct. 2006	China 2 <sup>nd</sup> National Legal Study Publication Award, Excellent Work
July 2006	Beijing Municipal Grant for Social Science Publications
Nov. 2017	Peking University Award for Teaching Accomplishment, First Prize
Dec. 2016	Peking University Award for Humanities and Social Science Publication
Jan. 2015	Peking University Award for Humanities and Social Science Research
June 2014	Peking University Tang Lixin Best Teaching Award
Dec. 2013	Peking University Award for Humanities and Social Science Publication
Nov. 2012	Peking University Award for Teaching Accomplishment, First Prize
Jun. 2011	Peking University Law School Hallam Chow Teacher Award
Jan. 2010	Peking University Kiriya Education Fund Research Fellowship
Jan. 2009	Peking University Award for Humanities and Social Science Research
Sept. 2008	Peking University Award for Excellence in Teaching
Nov. 2007	Peking University 7 <sup>th</sup> Young Teacher Competition, First Prize
Sept. 2006	Peking University ICBC Teacher Award